



\$3627

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. MBHB 99,853)

In re Application of:

Kaminsky et al.

Serial No.: 09/475,534

Filed: December 30, 1999

For: Automated Trading Exchange System  
Having Integrated Quote Risk Monitoring  
and Integrated Quote Modification Services

Art Unit: 3627

Examiner: Rudy, Andrew J.

Mail Stop DD  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

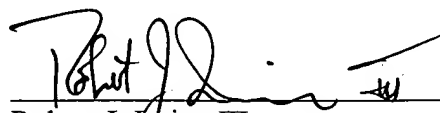
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JUL 24 2003  
GROUP 3600

TRANSMITTAL LETTER

In regard to the above identified application:

1. We are transmitting herewith the attached:
  - a. Supplemental Information Disclosure Statement;
  - b. Supplemental Form PTO-1449;
  - c. Copies of 2 cited references; and
  - d. Return Receipt Postcard.
2. With respect to fees:
  - a. Enclosed is a check in the amount of \$180.00 for the Supplemental Information Disclosure Statement Fee.
  - b. Please charge any additional fees or credit overpayment to Deposit Account No. 13-2490. A duplicate copy of this sheet is enclosed.
3. CERTIFICATE OF MAILING UNDER 37 CFR § 1.8: The undersigned hereby certifies that this Transmittal Letter and the papers, as described in paragraph 1 hereinabove, are being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop DD, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on July 16, 2003.

By:

  
Robert J. Irvine III  
Reg. No. 41,865



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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Mail Stop DD  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

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Dear Sir:

GROUP 3600

Pursuant to the duty of disclosure provided by 35 C.F.R. § 1.56 and §§ 1.97-98, the applicants wish to make the following references of record in the above-identified application. Copies of the references are enclosed. Copies are also listed in the PTO-1449 form enclosed herewith. It is requested that the documents be given careful consideration and that they be cited of record in the prosecution history of the present application so that they will appear on the face of the patent issuing from the present application.

Portions of the references may be material to the examination of the pending claims, however no such admission is intended. 37 C.F.R. 1.97 (h). The references have not been reviewed in sufficient detail to make any other representation and, in particular, no representation is intended as to the relative importance of any portion of the references. This

Statement is not a representation that the cited references have effective dates early enough to be

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"prior art" within the meaning of 35 U.S.C. sections 102 or 103, nor is this submission to be construed as a representation that a search has been made.

#### CITED REFERENCES

##### U.S. Patent Documents

Document Number	Date	Name	Class	Filing Date If Appropriate
6,405,180	06/11/2002	Tilfors et al.		11/05/1998

##### Foreign Patent Documents

Document Number	Date	Country	Class	Translation Yes No
WO 01/22263	09/22/2000			

Respectfully submitted,

McDonnell Boehnen Hulbert & Berghoff

Date: July 16, 2003

By:



Robert J. Irvine III  
Reg. No. 41,865